



PATENT  
ATTORNEY DOCKET NO. FINN-002

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of )  
 )  
Gregory M. Finn et al. )  
 )  
Title: INVESTMENT SYSTEM AND METHOD )  
 )  
Application No.: 09/547,409 )  
 )  
Filed: April 12, 2000 )

Group Art Unit: 2768

Examiner: Not known

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OCT 17 2000  
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Assistant Commissioner of Patents  
Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97(b)

Sir:

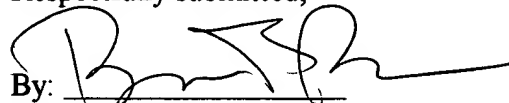
Pursuant to 37 C.F.R. §1.56, Applicants bring to the attention of the Examiner the references listed on the attached Form PTO-1449 for consideration in connection with the examination of the above-referenced patent application. Copies of the listed references are enclosed.

The filing of this information disclosure statement shall not be construed as a representation that a search has been made, or as an admission that the information cited is, or is considered to be, material to patentability, or that no other material information exists. Moreover, the filing of this information disclosure statement shall not be construed as an admission against Applicants' interests in any manner.

Applicants request that the Examiner show that he or she has considered the cited references by initialing or otherwise appropriately marking the attached Form PTO-1449 and returning a copy of the marked form to the undersigned. Applicants further request that the Examiner make the references of record as cited references in the application.

This Information Disclosure Statement is being filed before the mailing date of a first Office Action on the merits. Accordingly, no fee is due.

Respectfully submitted,



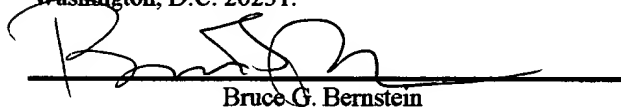
By: Bruce G. Bernstein  
Reg. No. 34,550

104 Woodside Rd.  
Apartment B105  
Haverford, PA 19041  
(610) 649-9929

Date: Oct. 11, 2000

Certification Under 37 C.F.R. Section 1.10

I hereby certify that I am depositing this correspondence with the United States Postal Service on Oct. 11, 2000, in an envelope as "Express Mail Post Office to Addressee" Mail Label Number EK594325951US addressed to Assistant Commissioner of Patents, Washington, D.C. 20231.

  
Bruce G. Bernstein